



Inspections

Inspections



U.S. Army Inspector



Inspections

Instructor Informat



Room 2106
(703) 805-3897
DSN 655-3897



U.S. Army Inspector



Inspections

Why Do Inspections?

- **Proactively resolves issues that affect unit readiness and warfighting capability.**
- **Promotes and reinforces good performance and best practices.**
- **Underscores leadership priorities.**

If it's important - inspect what you expect



Inspections

Inspections:

Relevance for an Army at War

- **243,000 Soldiers in 76 countries around the world.**
- **46,000 Army National Guard and 28,000 Army Reserve Soldiers on active duty.**
- **8,000 Soldiers currently support Homeland Security Missions.**
- **Global War on Terrorism = Long War.**



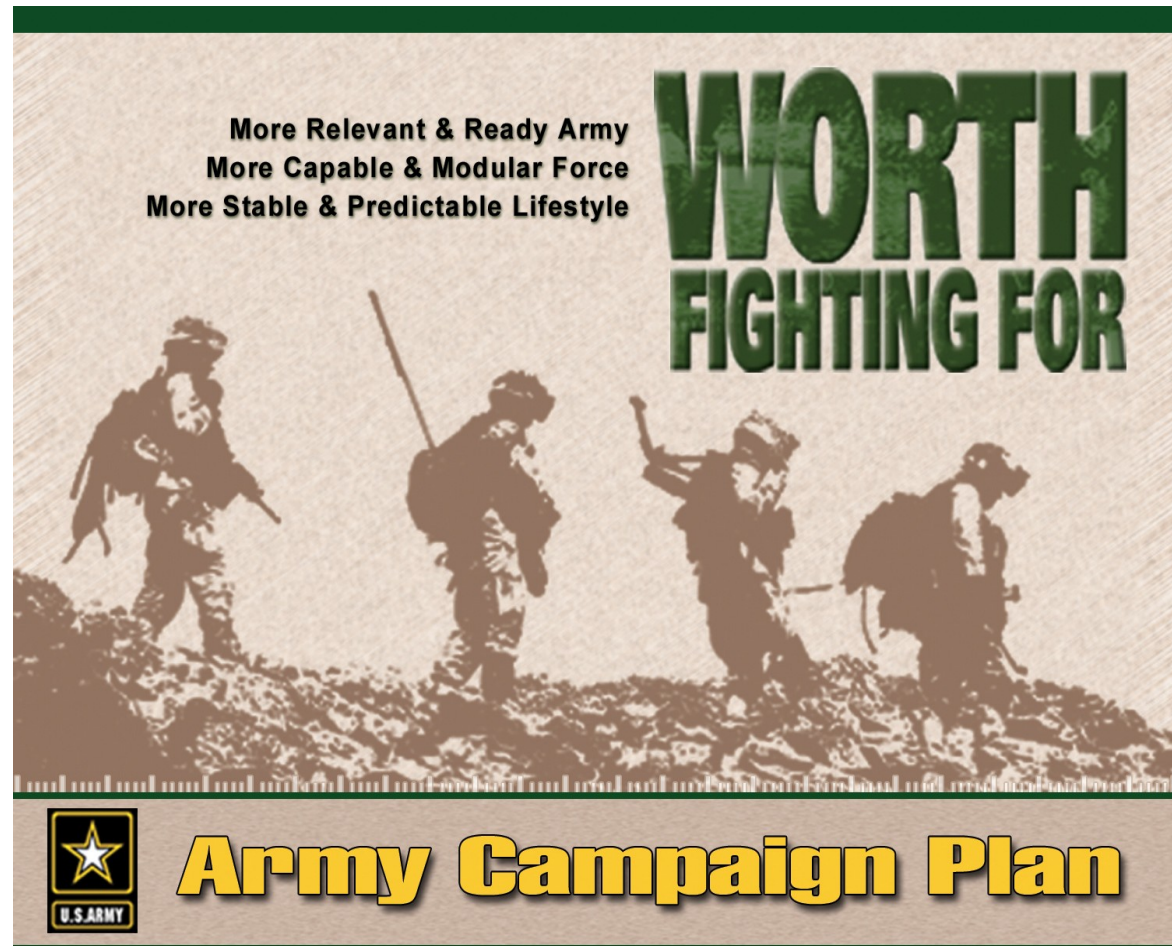
Inspections

Inspections: **Relevance** **for a Changing Army**

Modular

Rebalanced

Stabilized



U.S. Army Inspector



Inspections

References

- **Army Regulation 1-201, Army Inspection Policy**
- **Army Regulation 20-1, Inspector General Activities and Procedures**
- **Army Regulation 381-10, U.S. Army Intelligence Activities**
- **The Inspections Guide**
- **The Intelligence Oversight Guide**
- **Advance Sheets**
- **The IG Student Guide, Part 7, Fort Von Steuben**
- ~~**Inspections Table Group Chart (Handout)**~~



Inspections Training Schedule

Inspections

Day 2 (Tuesday)

- **0800-1100** **Inspection Principles and Organizational Inspection Program (OIP)**
- **1100-1600** **Inspections Process**

Day 3 (Wednesday)

- **0800-1500** **Inspections Process**
- **1500-1530** **Intelligence Oversight (FOUO)**
- **1530-1630** **SAIG Intelligence Oversight (FOUO)**



Inspections Training Schedule

(continued)

Inspections

Day 4 (Thursday)

- 0800-1100 Inspections Process
- 1100-1130 DAIG Information
- Assurance
- 1230-1330 Interview Practical Exercise
- 1330-1430 Sensing-Session Practical Exercise
- 1430-1630 IPR Practical Exercise

Issue Graded Homework (Practical Exercise 10) (due on Day 6 at 0800)

Day 5 (Friday)

- 0800-0830 Inspections Quiz
- 0830-0900 Inspections Quiz Review

U.S. Army Inspector

Day 12 - 14 (Week 3)



Inspections

Basic Ground Rules

- **Please ask questions relevant to the topic of Inspections.**
- **Please avoid sidebar discussions during the instruction.**
- **Please avoid personal Internet / email use during class time and practical exercises.**
- **Please use your table microphones.**
- **We start on time.**

Enabling Learning Objectives (ELOs)



**Reference: Advance Sheets
Pages 7 through 9**

**Questions for the Inspections Quiz and the
Final Exam will come directly from the ELOs!**



Inspections

ELOs



- 1. Describe the purpose of the Organizational Inspection Program (OIP).**
- 2. Identify the three inspection categories (Command, Staff, and IG).**
- 3. Describe the IG's role in the OIP.**
- 4. Identify the battalion as the basic building block of the OIP.**



Inspections

ELOs (continued)



5. Define the following terms:

- Inspection
- Standard
- Initial Command Inspection (ICI)
- Subsequent Command Inspection (SCI)
- Root Cause
- In-Process Review (IPR)
- Crosswalk
- Handoff



ELOs (continued)



Inspections

- 6. Describe the three phases of the Inspections Process (Preparation, Execution, Completion).**
- 7. Identify who may direct an IG Inspection.**
- 8. Identify the five information-gathering domains:**
 - Interviews**
 - Sensing Sessions**
 - Document Review**
 - Observation**
 - Surveys / Questionnaires**



Inspections

ELOs (continued)



9. Describe the Root-Cause Analysis Model.

10. Identify the five parts of the recommended findings section format.

- **Finding Statement**
- **Standard**
- **Inspection Results (Discussion)**
- **Root Cause**
- **Recommendation (s)**



ELOs (continued)



Inspections

- 11. Describe the impact of the rules of IG records on IG Inspection Reports.**
- 12. Describe the nature of Compressed IG Inspections.**
- 13. Apply the three-phase, 17-step Inspections Process.**
- 14. Apply the Root-Cause Analysis Model.**
- 15. Complete a findings section using the appropriate information.**



Inspections



Table Group

- **Your table group represents the Fort Von Steuben Inspector General (IG) shop's Inspections Branch for the purposes of all Practical Exercises.**
- **Refer to page 7-13 of The IG Student Guide for a diagram of the IG office.**
- **Become familiar with Fort Von Steuben and the 66th Infantry Division.**
- **Refer to the Inspections Table Group Chart for Practical-Exercise leadership assignments**

U.S. Army Inspector



Inspections

Definition of an Inspection



“An evaluation that measures performance against a standard and should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs.”



A standard is the way things should be.

AR 1-201, The Inspections Guide, Section 2-2, page 2-2-1 and 2-2-4

U.S. Army Inspector



Inspections

Searching for Standards

Use the Internet

- **Army Publishing Directorate (APD)**

<http://www.apd.army.mil/>

- **Army G-1 (Pentagon)**

<http://www.armyg1.army.mil/>

- **Department of Defense Directives**

<http://www.dtic.mil/whs/directives/>

- **National Guard Bureau**

<http://www.ngbpdc.ngb.army.mil/>

Know the proponent for each regulation to fix responsibility, and check the applicability of the regulation. *Does the regulation apply to everyone in the Army?*



Inspections

Army Inspection Policy

Army Regulation 1-201

- **Identifies responsibilities**
- **Requires Commanders to designate an OIP Coordinator**
- **Defines inspection terms and concepts**
- **Outlines the Army's inspection principles**
- **Establishes the Organizational Inspection Program**
(OIP) -- the most important aspect of AR 1-201

U.S. Army Inspector

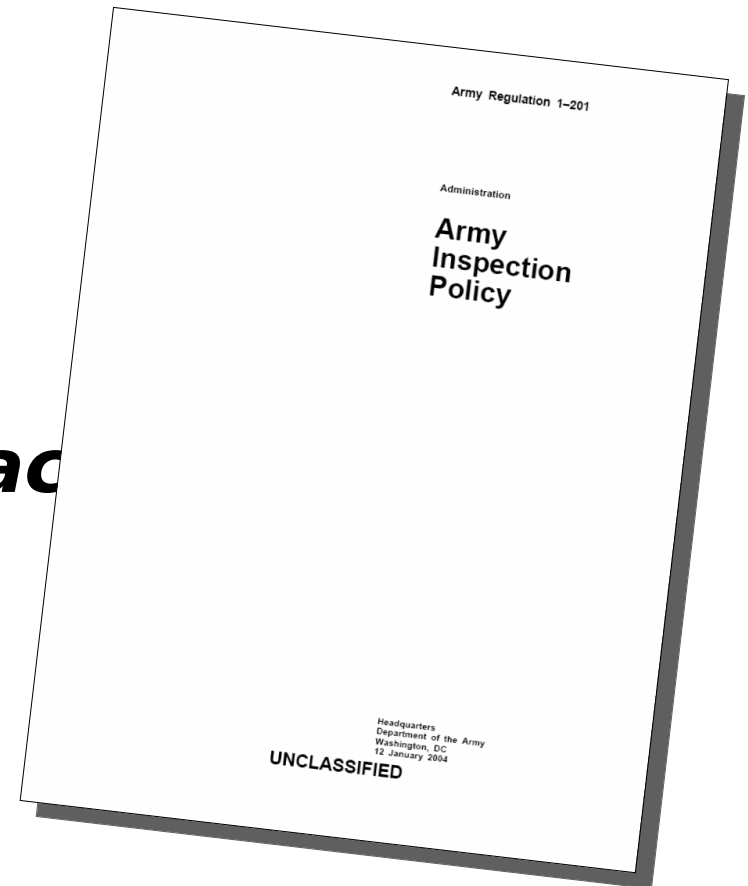


Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

Inspections

- 1. Purposeful***
- 2. Coordinated***
- 3. Focused on Feedback***
- 4. Instructive***
- 5. Followed up***



U.S. Army Inspector



Inspections

Principles of Army Inspections

(continued)

1. Purposeful

The commander approves the specific purpose of the inspection.

- ***Related to mission accomplishment.***
- ***Be tailored to meet the commander's needs while remaining relevant and responsive.***
- ***Be performance oriented and start***
with an evaluation against a standard.

U.S. Army Inspector



Principles of Army Inspections

(continued)

Inspections

2. Coordinated

To ensure the proper coordination of inspections, an **annual review** of all scheduled inspections should occur that answers the following three questions:

- *Can this inspection be canceled or combined with another inspection?*
- *Does this inspection duplicate or complement another inspection?*
- *Do inspection reports from other agencies or echelons of command exist that can assist in the conduct of an inspection?*

U.S. Army Inspector



Principles of Army Inspections

(continued)

Inspections

3. **Focused on Feedback** - Written or Verbal

- ***Inspections are critical because they provide the commander / TAG with accurate and timely feedback.***
- ***Inspection results include:***
 - ✓ ***The identification of root causes.***
 - ✓ ***The identification of strengths and weaknesses.***

U.S. Army Inspector



Inspections

Principles of Army Inspections

(continued)

4. Instructive

- ***Teaching and training is an essential element of all inspections and is the overarching purpose of Staff Assistance Visits.***
- ***No inspection is complete if the units or agencies inspected have not learned about goals and standards and how to achieve them.***



Principles of Army Inspections

(continued)

Inspections

5. Followed up

- ***Inspections expend valuable resources and are not complete unless a unit or agency develops and executes a follow-up inspection or plan to ensure the implementation of corrective actions.***
- ***Follow-up actions can include:***
 - ✓ **Re-inspections**
 - ✓ **Telephone calls or visits to proponents to check on the progress of corrective actions**

U.S. Army Inspector

✓ **Requests for formal responses (Reply**



Inspections

Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

- 1. Purposeful***
- 2. Coordinated***
- 3. Focused on Feedback***
- 4. Instructive***
- 5. Followed up***



Inspections

Review

- **Define the term Inspection.**
- **What is a Standard?**



Inspections

The Organizational Inspection Program

AR 1-201, Chapter 3
The Inspections Guide,
Chapter 5

U.S. Army Inspector



Inspections

The Organizational Inspection Program (OIP)

The Commander's plan for inspections!

- The OIP comprises all inspections within a unit
- The OIP is a command responsibility and program
- The OIP complements and reinforces other evaluations
- The OIP minimizes the duplication of evaluations
- The IG is the proponent for inspection policy

The G-3, S-3, or equivalent OPS agency is

U.S. Army Inspector



Inspections

Purpose of the OIP



To coordinate inspections and audits into a single, cohesive program focused on command objectives.

The OIP provides the commander with an organized management tool to identify, prevent, or eliminate problem areas.



Inspections

Role of the IG in the OIP



- **Develop** the IG Inspection Program as part of the OIP
- **Advise** commanders and staffs on inspection procedures
- **Advise** the commander on the OIP's effectiveness
- **Conduct** IG Inspections

AR 20-1, paragraph 6-2

AR 1-201, paragraph 1-4

U.S. Army Inspector



Inspections

Role of the OIP Coordinator

- **Develop** and maintain the written OIP for the unit or command
- **Coordinate** the execution of all inspection programs within the unit or command
- **Maintain** a calendar or schedule of planned inspections
- **Serve** as the executive agent for the Command Inspections (if required)

The Organizational Inspection Program (OIP)

The Integration of Inspections



AR 1-201, paragraphs 3-2 to 3-5

**The Inspections Guide,
Chapter 5**

The Organizational Inspection Program

The Integration of Inspections

O I P - T D A

**COMMAND
INSPECTIO
N**

Garrison HHCs

External Inspections

**STAFF
INSPECTION**

SAV

**IG
INSPECTIO
N**

**Internal Inspections
Mgt Control, Risk Assessment**

Small Business, Security, EEO, Force Protection, Surety



Inspections

Inspection Categories



1. Command Inspection

2. Staff Inspection

3. Inspector General Inspection



AR 1-201, paragraphs 3-2 to 3-5

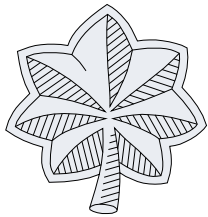
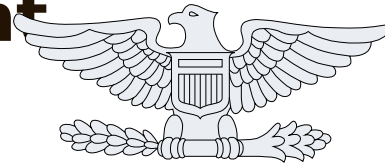
U.S. Army Inspector



Inspections

Command Inspections

- **A scheduled, formal event**
- **Led by the Commander**



- **Initial Command Inspection (ICI)**
(company or detachment)
- **Subsequent Command Inspection (SCI)**

AR 1-201, paragraphs 3-2 to 3-3



Inspections

Initial Command Inspection



- **Required for Company Commanders (or like commands: detachments, troops, batteries)**

- **Within 90 days for the Active Component**

- **Within 180 days for National Guard (NG) and U.S. Army Reserve (USAR)**



The inspecting commander must be present and participating in the inspection!

AR 1-201, paragraph 3-3c

U.S. Army Inspector



Inspections

Initial Command Inspection

(continued)



- **Identifies unit strengths and weaknesses**

- **Cannot be used to evaluate the Company Commander**

- **Helps commanders establish goals, standards, and priorities**

- **Not used to compare units**

- **Only the inspected commander and that commander's rater will receive the specific results (IG can request results without unit attribution)**



AR 1-201, paragraph

3-3c

U.S. Army Inspector



Inspections

Subsequent Command Inspection



- **Measures progress and reinforces goals and objectives** established in the Initial Command Inspection.
 - The commander determines the scope, format, **timing**, and frequency of the Subsequent Command Inspection.
 - The inspecting commander may use the results of the Subsequent Command Inspection to evaluate the company commander.
- The inspecting commander must be present and participating in the inspection!**

AR 1-201, paragraph 3-3d

U.S. Army Inspector



Staff Inspection

Inspections

- **Led by a staff member of a functional area.**
- **Focuses on a single functional area or a few related areas.**
- **Conducted by the lowest-level staff member technically qualified in the functional area.**
- **Should complement Command and IG Inspections.**
- **Compliance oriented.**





Inspections

Staff Assistance Visits

- **Directly support Staff Inspection and Command Inspection Programs**
- **Assist, teach, and train subordinate staff sections on how to meet the required standards of a particular functional area**
- **Can prepare staff sections for upcoming inspections or train them on new concepts, technologies, or operating techniques**



Inspections

Inspector General Inspection



Inspector General inspections should:

- Pursue **systemic** issues
- Identify sub-standard performance, determine the magnitude of the deficiency, and seek the reason for the deficiency (**the root cause**)
- Teach systems processes and procedures
- Identify responsibility for corrective **actions**

U.S. Army Inspector



Inspections

Inspector General Inspection

Who May Direct an IG Inspection?



**Secretary of the
Army (SA)**

**Chief of Staff
of the Army
(CSA)**

**or
Vice Chief of
Staff of the
Army (VCSA)**

Inspection Directive



**The
Inspector General
(TIG)**

Commander

AR 20-1, paragraph 1-4 b(4)

U.S. Army Inspector



Inspections

Systemic and Local Problems

What is the difference?



- **Systemic problems** are usually widespread and present a pattern. You can often trace these problems back to a regulation, policy, or other standard that is confusing, overly ambitious, or in conflict with another standard. The proponent is usually the person to fix this type of problem.
- **Local problems** usually affect a small group of people or an individual and do not present a pattern. You can usually trace these problems back to a particular person's decision, demeanor, or statements. The level of organization that the problem affects is the best place to solve this problem.



Inspections

Systemic and Local Problems

What is the difference?



Several Soldiers in Company C, 3rd Battalion, 66th Infantry, failed to receive their Basic Allowance for Subsistence (BAS) in their End-of-Month (EOM) pay.

Is this problem a systemic or a local problem?



Inspections

Systemic and Local Problems

What is the difference?



A lieutenant recently conducted a Permanent Change of Station (PCS) from Germany to Fort Von Steuben. Sixty days have passed, and he has still not received his household goods.

**Is this a systemic or a local
problem?**

U.S. Army Inspector



Inspections

Systemic and Local Problems

What is the difference?



For the past six months, 31% of the Army National Guard Soldiers mobilized to Fort Von Steuben's Power-Projection Platform are found to be Dental Category 3 or 4 (Non-deployable). Twenty-five percent of the U.S. Army Reserve Soldiers are also Dental Cat 3 / 4 upon arrival to Fort Von Steuben.

Is this problem a systemic or a local problem?

U.S. Army Inspector



Inspections

Review

- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**
- **What are the three inspection categories?**
- **When are Initial Command Inspections - Active, ARNG, and USAR - required?**
- **~~Who may direct an IG inspection?~~**

U.S. Army Inspector



Inspections

Why do units and people fail to comply with standards?

- “That is the way we did it in my *old* unit.”
- “I have no idea what you are talking about. I have been the S-1 for only two days.”
- “Take a number. We have two CTC rotations, an OEF planning conference, and brigade formal in front of you.”
- “I can’t get any good help these days. I am on my butt because all of my staff officers are young lieutenants!”

What are some other reasons you may have already heard?

The Root Cause Analysis Model

NON-COMPLIANCE



DON'T KNOW

CAN'T COMPLY

WON'T COMPLY

**NEVER KNEW
FORGOT
TASK IMPLIED**

**FEW RESOURCES
DON'T KNOW HOW
IMPOSSIBLE**

**NO REWARD
NO PENALTY
DISAGREE**

Root Cause: The underlying reason why something happens or does not happen.

The Inspections Guide, Section 3-3, pages 3-3-1 to 3-3-4



Inspections

Don't Know

Why not?

- **Never knew** – The problem may be systemic in terms of getting guidance down to the user level.
- **Forgot** – The problem is usually a local or personal issue.
- **Task implied** – The problem could result from a lack of experience or specific guidance.

Look for written SOPs, regulations, policies, and so on.



Inspections

Can't Comply

Why not?

- **Scarce resources / low priority** – Always look at the big picture.
- **Don't know how** – Possibly a lack of training.
- **Impossible** – The unit or individuals may not even be able to accomplish the task.



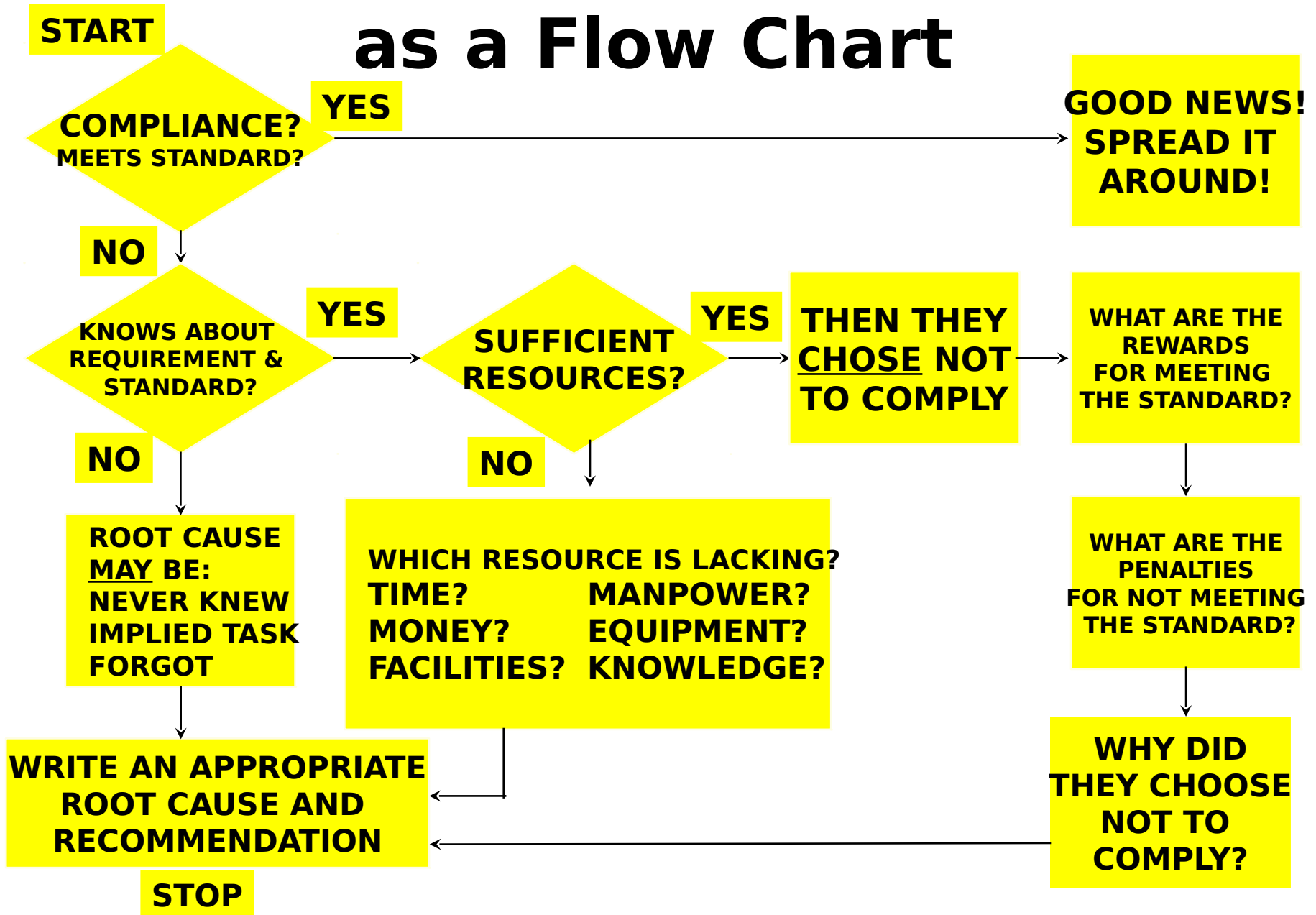
Inspections

Won't Comply

Why not?

- **No reward** – Check for incentives.
- **No penalty** – Nobody cares.
- **Disagree** – The unit or individual may be seeking an exception to policy or a change to the rules.

Root Cause Analysis as a Flow Chart





Inspections

Root Cause

Case Study 1

- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**



U.S. Army Inspector



Inspections

Root Cause

Case Study 1

- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

- **What is the standard?**
 -  **Tighten, wipe, and observe!**
- **We have a good news story!**
- **Is a root cause applicable?**



Inspections

Root Cause

Case Study 2

- **Drivers are not conducting Preventive Maintenance Checks and Services (PMCS) to standard on their respective vehicles.**
- **Noncommissioned Officers (NCOs) are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**



U.S. Army Inspector



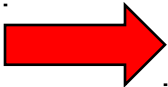
Inspections

Root Cause

Case Study 2

- **Drivers are not conducting a PMCS to standard on their respective vehicles.**
- **NCOs are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**

- **What is the standard?**

 **Perform a proper PMCS on the vehicles.**

- **NCOs: Can't comply because of competing requirements.**
- **Drivers: Can't comply due to a lack of experience and knowledge.**



Inspections

Root Cause

Case Study 3

- **An armor battalion's Nuclear, Biological, and Chemical (NBC) equipment is not calibrated.**
- **The unit understands the calibration requirement, but the Test, Measurement, and Diagnostics Equipment (TMDE) shop at the Sustainment Brigade will not accept the job orders.**
- **The TMDE shop does not have the required personnel and equipment to conduct calibration and does not want to suffer the downtime.**



U.S. Army Inspector



Inspections

Root Cause

Case Study 3

- An armor battalion's NBC equipment is not calibrated.
- The unit understands the calibration requirement, but the TMDE shop will not accept the job orders.
- The TMDE shop does not have the required personnel and equipment to conduct calibration and does not want to suffer the downtime.

What is the standard?
→ Annual calibration of all NBC equipment

- Unit: Can't comply because the TMDE shop won't accept the job orders (symptom of the TMDE's root causes).
- TMDE: Can't and won't comply due to lack of resources and the downtime penalty involved (a symptom as well).

U.S. Army Inspector



Inspections

Types of Inspections

- **General Inspection.** These inspections are broad in scope, oriented on units, and designed to look at all aspects of the organization. (Once called compliance inspections)
- **Special Inspection.** These inspections are focused on specific functions, programs, procedures, problems, or issues; these inspections also look at groups of related problems or procedures. The special inspection facilitates the systemic approach to an inspection and is the **preferred type of IG Inspection.**
- **Follow-up Inspection.** These inspections review the effectiveness of **corrective actions taken** as a result of a previous inspection.

The Inspections Guide, Section 2-2, pages 2-2-2 to 2-2-3

U.S. Army Inspector



Inspections

O I P

**COMMAND
INSPECTION
General
Special
Follow-up**

**STAFF
INSPECTION
General
Special
Follow-up**

**IG
INSPECTION
Special
Follow-up
General**

All three inspection categories can contain the three types of inspections.



OIP: Battalion

Inspections



The battalion is the basic building block of the OIP

- The Battalion OIP normally includes Command Inspections (**Initial and Subsequent**) and Staff Inspections
- The Battalion OIP focuses on areas that immediately impact on readiness and that reinforce goals and standards
- Teaching and training is a goal of company-level Command Inspections

AR 1-201, Paragraph 3-2 c

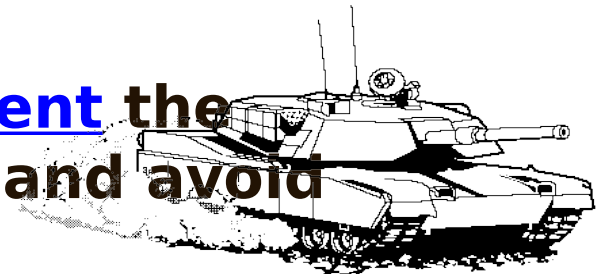
U.S. Army Inspector



OIP: Brigade

Inspections

- **The Brigade OIP normally includes Command Inspections, Staff Inspections, and Staff Assistance Visits**
- **The Brigade OIP focuses on units and functional areas**
- **The Brigade OIP should include inspections of the brigade headquarters company**
- **The Brigade OIP must complement the battalion commanders' programs and avoid redundancy**





OIP: Division

Inspections

- The Division OIP consists primarily of **Staff** and **IG Inspections**
- At a minimum, the Division OIP should:
 - **Establish a plan** to check the OIP's effectiveness (an **IG role**)
 - **Protect subordinate commanders from constant inspections**



U.S. Army Inspector



Inspections

Developing an OIP

- **Your unit or command's OIP will normally exist in the form of a local regulation or memorandum.**
- **The OIP document should list responsibilities for staff members and subordinate commanders and designate an overall OIP Coordinator.**

The Inspections Guide,
Chapter 5

U.S. Army Inspector



Inspections

Developing an OIP

(continued)

- **The OIP document should articulate the commander's overall inspection guidance.**
- **The OIP document should address the relevant categories of inspections (Command, Staff, and IG) - as they pertain to the command - by frequency, focus, and so on.**



Inspections

Developing an OIP

(continued)

- The OIP document should address **Intelligence Oversight** within the unit or command (division and above only).
- The OIP document must capture all inspections that affect the command and then prioritize them - or eliminate some of them!
- The OIP document should establish the scope and standards for the different types of inspections.

U.S. Army Inspector



Inspections

Developing an OIP

(continued)

- Use IG technical channels to share inspection standards and objectives.
- The OIP document should address the Army's **Management Control Evaluation Process**. (AR 20-1, paragraph 1-4, b (7) and Appendix D; AR 11-2)



Inspections

The IG Inspection Selection Process



The Inspections Guide, Section 3-4

U.S. Army Inspector



Inspections

The IG Inspection Selection Process



DETERMINE
THE COMMANDER'S
PRIORITIES

- The IG must **know the Commander**
- The IG must **attend relevant staff meetings** and listen in on key topics of discussion
- The IG must keep up with all of his or her commander's **current policies** and philosophies
- The IG must be a visible and **participating member of the command**



Inspections

The IG Inspection Selection Process

How do you build an Inspection Priority List?

The IG must be aware of the commander's guidance and trends within the command.

- Review the **IG Database** for trends
- Review the Annual Training Guidance
- Review Local Command Policy and Goals
- Know the Command Vision
- **Review DAIG** and higher headquarters' inspection priorities
- Study pertinent issues in Unit Status Reports or Strategic Readiness System (SRS)

U.S. Army Inspector



Inspections

The IG Inspection Selection Process

Analyze your information for its . . .

- Impact on Unit Readiness
- Value to the Command
- Priority to the Command



U.S. Army Inspector



Inspections

The IG Inspection Selection Process

Develop a prioritized list

- List the inspection topics by priority
- Develop at least four key inspection topics for the fiscal year (one topic per quarter)
- Explain to the commander how and why these inspections will contribute to unit readiness

For example,

1. OIP (1st Quarter)
2. Composite Risk Management (CRM) (2nd Quarter)
3. Force Protection (3rd Quarter)
4. Property Accountability (4th Quarter)

The Inspection Selection Process

Generate a list for you **CONSIDER THE COMMANDER'S GUIDANCE AND CURRENT TRENDS**

**DETERMINE
COMMANDER'S
PRIORITIES**

**ANALYZE THE
INFORMATION**

DEVELOP THE LIST

1. OIP
2. CRM
3. Force Protection
4. Property Accountability

**COMMANDER
APPROVES LIST**

200						
			2			
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

**INSPECTION LIST
PUBLISHED**



Inspections Review

Inspections

- **Define the term inspection.**
 - **What is a standard?**
 - **What is the purpose of the OIP?**
 - **What is the IG's role in the OIP?**
 - **What are the three inspection categories?**
 - **When are Initial Command Inspections required?**
 - **Who may direct an IG inspection?**
 - **What are the three reasons for non-compliance?**
 - **What size unit serves as the basic building block of the OIP?**
- U.S. Army Inspector